

FINANCIAL DISCLOSURE REPORT
Nomination Report

Report required by the Ethics in
Government Act of 1978, as amended
(5 U.S.C. App. 4, Sec. 101-112)

1. Person Reporting (Last name, first, middle initial) Walter, John F.		2. Court or Organization U.S. Dist. Ct. Judge (C.D. CA)	3. Date of Report 01/28/2002
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. Dist. Ct. Judge - Nominee		5. Report Type (check type) X Nomination, Date 01/23/2002 Initial Annual Final	6. Reporting Period 01/01/2001 to 01/01/2002
7. Chambers or Office Address 11601 Wilshire Boulevard Suite 1900 Los Angeles, CA 90025		8. On the basis of the information contained in this Report and any modifications pertaining thereto, it is in my opinion, in compliance with applicable laws and regulations. Reviewing Officer _____ Date _____	
IMPORTANT NOTES: The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each section where you have no reportable information. Sign on the last page.			

I. POSITIONS (Reporting individual only; see pp. 9-13 of Instructions.)

POSITION	NAME OF ORGANIZATION / ENTITY
☐ NONE (No reportable positions.)	
1 Officer and shareholder	Walter, Finestone & Richter, a Professional Corporation
2	
3	

II. AGREEMENTS (Reporting individual only; see pp. 14-16 of Instructions.)

DATE	PARTIES AND TERMS
☐ NONE (No reportable agreements.)	
1	John F. Walter and Walter, Finestone & Richter Employment Agreement dated June 1, 1995
2	John F. Walter and Walter, Finestone & Richter Profit Sharing Plan
3	

III. NON-INVESTMENT INCOME (Reporting individual and spouse; see pp. 17-24 of Instructions.)

DATE	SOURCE AND TYPE	GROSS INCOME (yours, not spouse's)
☐ NONE (No reportable non-investment income.)		
1	John F. Walter Salary and Bonus from Walter, Finestone & Richter - 2000	397,500
2	John F. Walter Salary from Walter, Finestone & Richter - 01/01/01 to 01/01/02	228,000
3		
4		

IV. REIMBURSEMENTS -- transportation, lodging, food, entertainment.
(Includes those to spouse and dependent children. See pp. 25-28 of Instructions.)

	SOURCE	DESCRIPTION
☐	NONE (No such reportable reimbursements.)	
1	Exempt	
2		
3		
4		
5		
6		
7		

V. GIFTS
(Includes those to spouse and dependent children. See pp. 29-32 of Instructions.)

	SOURCE	DESCRIPTION	VALUE
☐	NONE (No such reportable gifts.)		
1	Exempt		
2			
3			

VI. LIABILITIES
(Includes those of spouse and dependent children. See pp 33-35 of Instructions.)

	CREDITOR	DESCRIPTION	VALUE CODE*
☒	NONE (No reportable liabilities.)		
1			
2			
3			
4			
5			
6			

* VAL CODES: J=\$15,000 or less K=\$15,001-\$50,000 L=\$50,001 to \$100,000 M=\$100,001-\$250,000 N=\$250,001-\$500,000
O=\$500,001-\$1,000,000 P1=\$1,000,001-\$5,000,000 P2=\$5,000,001-\$25,000,000 P3=\$25,000,001-\$50,000,000 P4=\$50,000,001 or more

VII. Page 1 INVESTMENTS and TRUSTS – income, value, transactions

(Includes those of spouse and dependent children. See pp. 36-54 of Instructions.)

A. Description of Assets (including trust assets) <i>Place "(X)" after each asset exempt from prior disclosure.</i>	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code (A-H)	(2) Type (e.g., dividend, rent or interest)	(1) Value Code (J-P)	(2) Value Method Code (Q-W)	(1) Type (e.g., buy, sell, partial sale, merger, redemption)	If not exempt from disclosure			
						(2) Date: Month-Day	(3) Value Code (J-P)	(4) Gain Code (A-H)	(5) Identity of buyer/seller (if private transaction)
☐ NONE (No reportable income, assets, or transactions.)									
1 Fredricks Fund I	A	Distribution	J	U	Exempt				
2 Fredricks Fund II	D	Distribution	K	U	Exempt				
3 Fredricks Fund III	C	Distribution	K	U	Exempt				
4 Fredricks Fund IV	C	Distribution	K	U	Exempt				
5 170 shares of AT&T	A	Dividend	J	T	Exempt				
6 7 shares of Avaya	A	Dividend	J	T	Exempt				
7 170 shares of Bell South	A	Dividend	J	T	Exempt				
8 93 shares of Lucent	A	Dividend	J	T	Exempt				
9 70 shares of Qwest Intl.	A	Dividend	J	T	Exempt				
10 318 shares of SBC	A	Dividend	J	T	Exempt				
11 70 shares of Vodafone	A	Dividend	J	T	Exempt				
12 127 shares of Verizon	A	Dividend	J	T	Exempt				
13 54 shares of AT&T Wireless	A	Dividend	J	T	Exempt				
14 Charles Schwab Money Market	E	Interest	N	T	Exempt				
15 Vanguard Money Market	E	Interest	N	T	Exempt				
16 Centurion Money Market	D	Interest	L	T	Exempt				
17 T. Rowe Price Money Market	A	Interest	J	T	Exempt				

1 Inc/Gain Codes: A=\$1,000 or less (Col. B1, D4)	B=\$1,001-\$2,500 G=\$100,001-\$1,000,000	C=\$2,501-\$5,000 H1=\$1,000,001-\$5,000,000	D=\$5,001-\$15,000 H2=\$5,000,001 or more	E=\$15,001-\$50,000
2 Val Codes: J=\$15,000 or less (Col. C1, D3)	K=\$15,001-\$50,000 P1=\$1,000,001-\$5,000,000	L=\$50,001-\$100,000 P2=\$5,000,001-\$25,000,000	M=\$100,001-\$250,000 P3=\$25,000,001-\$50,000,000	N=\$250,001-\$500,000 P4=\$50,000,001 or more
3 Val Mth Codes: Q=Appraisal (Col. C2)	R=Cost (real estate only) V=Other	S=Assessment W=Estimated	T=Cash/Market	

Name of Person Reporting
Walter, John F.

Date of Report
01/28/2002

(Includes those of spouse and dependent children. See pp. 36-54 of Instructions.)

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☐	NONE (No reportable income, assets, or transactions.)									
18	Vanguard GNMA Fund	D	Interest	M	T	Exempt				
19	Vanguard Cal. Insured Fund	D	Interest	N	T	Exempt				
20	Vanguard 500 Index Fund	A	Dividend	J	T	Exempt				
21	Vanguard Int'l Growth Fund	A	Dividend	J	T	Exempt				
22	Vanguard Total Stock Market Fund	A	Dividend	J	T	Exempt				
23	T. Rowe Price European Stock	A	Dividend	J	T	Exempt				
24	Janus Olympus Fund	A	Dividend	J	T	Exempt				
25	Schwab 1000 Fund	A	Dividend	K	T	Exempt				
26	Strong Growth Fund	A	Dividend	K	T	Exempt				
27	Gabelli Asset Fund	A	Dividend	J	T	Exempt				
28	Thornberg Value Fund	A	Dividend	J	T	Exempt				
29	Wilshire 5000 Index	A	Dividend	J	T	Exempt				
30	Rydex Technology Fund	A	Dividend	K	T	Exempt				
31	Artisan Int'l Fund	A	Dividend	J	T	Exempt				
32	Scudder European	A	Dividend	J	T	Exempt				
33	IRA - Charles Schwab	A	Dividend	K	T	Exempt				
34	IRA - Charles Schwab	A	Dividend	J	T	Exempt				

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2 Val Codes: (Col. C1, D3)	J=\$15,000 or less O=\$500,001-\$1,000,000	K=\$15,001-\$50,000 P1=\$1,000,001-\$5,000,000	L=\$50,001-\$100,000 P2=\$5,000,001-\$25,000,000	M=\$100,001-\$250,000 P3=\$25,000,001-\$50,000,000
3 Val Mth Codes: (Col. C2)	Q=Appraisal U=Book Value	R=Cost (real estate only) V=Other	S=Assessment W=Estimated	T=Cash/Market

VII. Page 3 INVESTMENTS and TRUSTS – income, value, transactions

(Includes those of spouse and dependent children. See pp. 36-54 of Instructions.)

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						(2) Date: Month-Day	(3) Value Code (J-P)	(4) Gain Code (A-H)	(5) Identity of buyer/seller (if private transaction)
☐ NONE (No reportable income, assets, or transactions.)									
35 Walter, Finestone & Richter Profit Sharing Plan	E	Interest	P1	T	Exempt				
36 8500 shares of Walter, Finestone & Richter			M	U	Exempt				
37 Northern Trust Bank	A	Interest	K	T	Exempt				
38 California National Bank	B	Interest	L	T	Exempt				
39 Wells Fargo Bank	A	Interest	J	T	Exempt				
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FINANCIAL DISCLOSURE REPORT

Name of Person Reporting
Walter, John F.

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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS.

(Indicate part of report.)
Not applicable

FINANCIAL DISCLOSURE REPORT

Name of Person Reporting
Walter, John F.

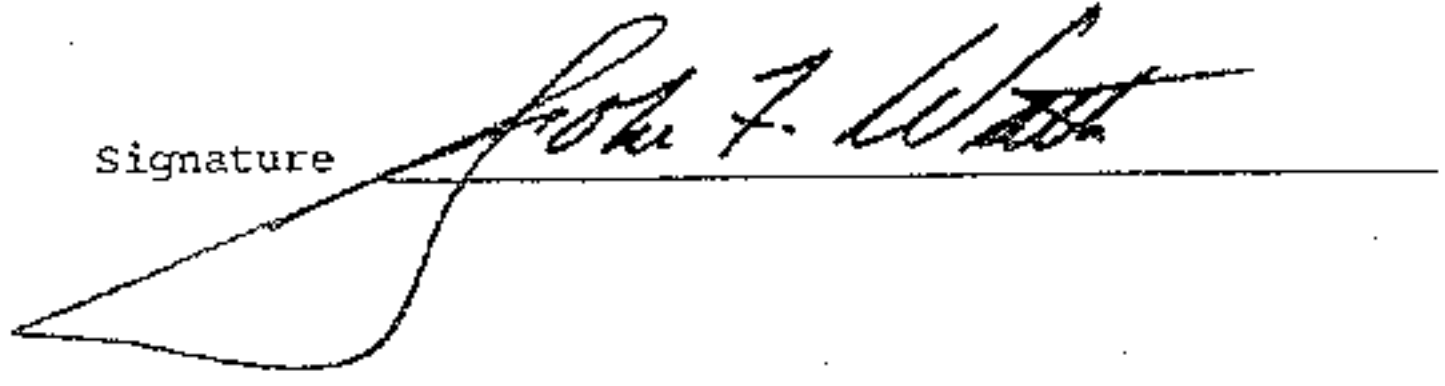
Date of Report
01/28/2002

IX. CERTIFICATION

I certify that all the information given above (including information pertaining to my spouse and minor or dependent children, if any) is accurate, true, and complete to the best of my knowledge and belief, and that any information not reported was withheld because it met applicable statutory provisions permitting non-disclosure.

I further certify that earned income from outside employment and honoraria and the acceptance of gifts which have been reported are in compliance with the provisions of 5 U.S.C. app. 4, section 501 et. seq., 5 U.S.C. 7353 and Judicial Conference regulations.

Signature



Date

1/28/02

Note: Any individual who knowingly and wilfully falsifies or fails to file this report may be subject to civil and criminal sanctions (5 U.S.C. App. 4, Section 104).

FILING INSTRUCTIONS

Mail original and three additional copies to:

Committee on Financial Disclosure
Administrative Office of the United States Courts
One Columbus Circle, N.E.
Suite 2-301
Washington, D.C. 20544

FINANCIAL STATEMENT

NET WORTH

Provide a complete, current financial net worth statement which itemizes in detail all assets (including bank accounts, real estate, securities, trusts, investments, and other financial holdings) all liabilities (including debts, mortgages, loans, and other financial obligations) of yourself, your spouse, and other immediate members of your household.

ASSETS		LIABILITIES	
Cash on hand and in banks	925,864	Notes payable to banks-secured	
U.S. Government securities-add schedule	150,000	Notes payable to banks-unsecured	
Listed securities-add schedule	649,031	Notes payable to relatives	
Unlisted securities-add schedule	150,000	Notes payable to others	
Accounts and notes receivable:		Accounts and bills due	
Due from relatives and friends		Unpaid income tax	
Due from others		Other unpaid income and interest	
Doubtful		Real estate mortgages payable-add schedule	
Real estate owned-add schedule	850,000	Chattel mortgages and other liens payable	
Real estate mortgages receivable		Other debts-itemize:	
Autos and other personal property	75,000		
Cash value-life insurance			
Other assets itemize: See Schedule	1,433,000		
		Total liabilities	None
		Net Worth	4,232,895
Total Assets	4,232,895	Total liabilities and net worth	4,232,895
CONTINGENT LIABILITIES	None	GENERAL INFORMATION	
As endorser, comaker or guarantor		Are any assets pledged? (Add schedule)	No
On leases or contracts		Are you defendant in any suits or legal actions?	No
Legal Claims		Have you ever taken bankruptcy?	No
Provision for Federal Income Tax			
Other special debt			

Rydex Technology Fund	19,000
Artisan International Fund	5,000
Scudder Greater Europe Growth	5,000
	\$ 615,000
	34,031
	\$ 649,031

Unlisted Securities:

8500 Shares of Walter, Finestone & Richter	\$ 150,000
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Real Estate:

Residence: 16611 Merivale Lane Pacific Palisades, California 90272	\$ 850,000
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Other Assets:

(a) Fredricks Funds I, II, III, and IV	\$ 114,000
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(b) IRA – John F. Walter	\$ 37,000
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IRA – Joyce A. Walter	9,000
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(c) Walter, Finestone & Richter Profit Sharing Plan	\$1,273,000
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	\$1,433,000